

# Yuanta Securities Co., Ltd.

## Board and Functional Committees Evaluation Procedures

Approved at the 7th meeting of the 9th Board of Directors on November 24, 2016  
Amended at the 7th meeting of the 10th Board of Directors on November 28, 2019  
Amended at the 18th meeting of 10th Board of Directors on September 24, 2020  
Amended at the 30th meeting of 10th Board of Directors on September 30, 2021  
Amended at the 24th meeting of 11th Board of Directors on November 30, 2023

### Article 1 (Purpose and Basis for Establishment of the Regulations)

To implement corporate governance and enhance the functions of the Company's Board of Directors, and to set forth performance objectives to improve the operation efficiency of the Board of Directors, the Regulations are established pursuant to the Sample Template of "Board of Directors Performance Evaluation Procedures" of Taiwan Stock Exchange Corporation and Article 35 of the Company's "Corporate Governance Best Practice Principles" for compliance.

The Company may create different evaluation methods appropriate to each individual unit that is subject to evaluation.

### Article 2 (Compliance)

The performance evaluation of the Board of Directors and the functional committees of the Company, including general evaluation cycles, evaluation periods, scope and method of evaluation, the unit conducting evaluations, evaluation procedures and other matters for compliance shall be subject to these Procedures.

The Company's functional committees include the Audit Committee and Remuneration Committee.

### Article 3 (Evaluation Cycle and Period)

The Company's Board of Directors and functional committees shall conduct the performance evaluations of the Board of Directors and functional committees every year according to the evaluation procedures and the evaluation indicators provided in Articles 6 and 8.

The Company's Board of Directors performance evaluation shall be conducted by an external independent professional institution or a panel of external experts and scholars at least once every three years.

The chairperson of the Board of Directors shall be authorized to approve the aforementioned external evaluation institution or panel, schedules, and evaluation method.

The evaluation results for the Board of Directors and the functional committees shall be completed before the end of first quarter of the following year.

### Article 4 (Scope and Method of Evaluation)

The evaluation scope of the Company's Board of Directors covers the evaluation of the Board itself, functional committees, and individual directors.

### Article 5 Methods of evaluations include self-evaluations of the Board of Directors and functional committees, self-evaluation by individual board members, peer evaluation, and evaluation by appointed external professional institutions, experts, or other appropriate

methods.(Executive Unit of Evaluation)

The unit dedicated to executing the evaluations of the Board of Directors shall verify the evaluated unit's operation and act fairly, objectively and independently.

Considering that the operations might vary based on various functional committees, the unit dedicated to executing the evaluations of the functional committees may be replaced with another unit, subject to the department's organizational structure. The execution unit shall act fairly and objectively and be served by the person or unit that has no direct conflict of interest with the evaluated unit's operations.

#### Article 6 (Evaluation Procedures)

The procedures for the performance evaluation of the Company's Board of Directors and functional committees are as follows:

- I. Determining the units to be subject to evaluation, the period, and the scope of evaluation in the current year.
- II. Determining the method of evaluation.
- III. Selecting the units appropriate to conduct the evaluations.
- IV. Various execution units responsible for the performance evaluations to collect the information about the Board of Directors and functional committee activities, and distribute and complete the attached schedules, including "Board of Directors Performance Evaluation Self-Evaluation Questionnaire" as Schedule 1, " Board Member Performance Evaluation Self-Evaluation Questionnaire" as Schedule 2, "Audit Committee Performance Evaluation Self-Evaluation Questionnaire" as Schedule 3, and "Remuneration Committee Performance Evaluation Self-Evaluation Questionnaire" as Schedule 4. The questionnaires are then collected uniformly by the relevant execution unit or Secretariat of the Board of Directors, and the unit records the evaluation report based on the scores per the evaluation indicators referred to in Article 8 herein, and submit the report to the Board of Directors for discussion.

#### Article 7 (External Organizations and Experts)

When appointing an external evaluation institution or panel of external experts and scholars to conduct evaluations of Board of Directors performance, the Company shall comply with the following guidelines:

- I. The external evaluation institution or panel of external experts and scholars shall be professional and independent.
- II. The external evaluation institution shall be an institution or management consulting firm mainly engaging in the provision of services for educational and training programs for board of directors and improvement of corporate governance of enterprises.
- III. The panel of external experts and scholars shall appoint at least three experts or scholars specialized in the fields of board of directors or corporate governance to conduct evaluations of board performance of the Company and prepare external evaluation analysis reports.

#### Article 8 (Evaluation Indicators and Scoring Criteria)

The Company shall take into consideration its condition and needs when establishing the criteria for evaluating the performance of the Board of Directors, which shall cover, at a minimum, the following six aspects:

- I. Extent of participation in the operation of the Company.
- II. Improvement of the Board of Directors' decision making quality.
- III. Composition and structure of the Board of Directors.
- IV. Election and continuing education of the directors.
- V. Internal controls.
- VI. Involvement in sustainable development (environmental, social, and corporate governance (ESG) issues).

The criteria for evaluating the performance of the Board members, shall cover, at a minimum, the following six aspects:

- I. Alignment of the goals and missions of the Company.
- II. Awareness of the duties of a director.
- III. Extent of participation in the operation of the Company.
- IV. Management and communication of internal relationship.
- V. The professionalism and continuing education of directors.
- VI. Internal controls.

The criteria for evaluating the performance of functional committees shall cover, at a minimum, the following five aspects:

- I. Extent of participation in the operation of the Company.
- II. Awareness of the duties of the functional committees.
- III. Improvement of functional committees' decision making quality.
- IV. Composition of the functional committees and election of their members.
- V. Internal controls.

The indicators of the performance evaluation of the Board of Directors and functional committees shall be determined to be suitable and appropriate for evaluations by the Company based on the operation and needs of the Company and shall be subject to regular reviews and constructive comments of the Remuneration Committee.

Scoring criteria may be modified and adjusted based on the Company's needs. The weighted scoring method may be adopted based on the aspects of evaluation.

#### Article 9 (Application of Performance Evaluation)

The Board of Directors' performance evaluation result shall be provided to the Remuneration Committee as the reference basis for determination of directors' remuneration.

#### Article 10 (Disclosure of Annual Report Information)

The Company shall disclose the implementation of the performance evaluation of the Board of Directors and the functional committees in the annual report for the current year, including the evaluation cycle, evaluation period, evaluation scope, evaluation method, and evaluation content.

If the Company has an external institution or panel of external experts to execute the performance evaluation of the Board of Directors, the Company shall disclose the external evaluation institution, panel of external experts, team members and description of its professionalism, as well as the statement of independence of the external evaluation

institution or panel of external experts, and the evaluation method, criteria, and suggestions in the annual report for future improvement.

Article 11 (Disclosure Method)

The performance evaluation regulations established by the Company shall be fully disclosed on the Company's official website for consultation.

Article 12 (Implementation)

These Procedures shall take effect after having been discussed and approved by the Board of Directors. Subsequent amendments shall be effected in the same manner.

**Year\_\_\_\_\_Board of Directors Performance Evaluation Self-Evaluation Questionnaire of Yuanta Securities Co., Ltd.**

**Evaluated by: \_\_\_\_\_ (Signed in person)**

1. If it is impossible to interpret the Evaluation Results under various indicators sufficiently, please provide details in the Remark section.
2. The Evaluation Results are presented by 5 levels specified as follows: 1 stands for extremely poor (Strongly Disagree); 2 stands for Poor (Disagree); 3 stands for Moderate (Ordinary); 4 stands for Excellent (Agree); 5 stands for Extremely Excellent (Strongly Agree).

Evaluation Indicators	Evaluation Result	Remarks
<b>A. Their extent of participation in the Company's operations</b>		
1. Each director's attendance at the Board meetings (exclusive of the attendance by proxy) is considered fair (1 for the attendance rate less than 70%, 2 for the attendance rate more than 70% but less than 80%, 3 for the attendance rate more than 80% but less than 85%, 4 for the attendance rate more than 85% but less than 90%, and 5 for the attendance rate more than 90%)	1 2 3 4 5	
2. The directors read and understand the meeting materials before any Board meeting.	1 2 3 4 5	
3. The interaction between the Board of Directors and management team is considered fair.	1 2 3 4 5	
4. The Board of Directors does monitor the Company's compliance with laws and best practice principles precisely.	1 2 3 4 5	
5. All of the directors make positive contribution at the Board meetings.	1 2 3 4 5	
6. The Board of Directors continues to promote the adoption of internal rules related to corporate governance, support the Company to participate in the corporate governance evaluation, and protect shareholders' equity to upgrade the corporate governance.	1 2 3 4 5	
7. The Board members have adequate knowledge of the Company, and the Company's management team and industries.	1 2 3 4 5	
8. The directors are able to evaluate and supervise the Company's existing or potential risks and discuss the implementation and follow-up of the internal control system.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
<p>9. The directors adequately communicate and exchange views with the auditing Certified Public Accountants (“CPAs”).</p> <p>(In the case of launch of new statements of accounting principles or major adjustment on the financial statements, a meeting shall be convened for discussion. The CPAs will be invited to attend the Board meeting for at least twice per year, in order to discuss about the annual report and semi-annual report to verify the Company’s financial position thoroughly.)</p>	1 2 3 4 5	
10. The Board of Directors reviews the management team’s performance periodically and thoroughly, and renders reward or discipline in a timely manner.	1 2 3 4 5	
11. The Board of Directors can access the corporate business performance report in a timely manner, and grasp various disadvantageous trends promptly.	1 2 3 4 5	
<b>B. Improvement in the decision making quality of the Board of Directors</b>		
12. The Board of Directors has established the Company’s core values (discipline, mission, honor and vision), and can set the Company’s strategic goals specifically.	1 2 3 4 5	
13. The Company has discussed and set the strategic plans and annual budget procedure adequately.	1 2 3 4 5	
14. Adequate frequency of the Board meetings (At least twice per year: 1; four times: 2; six times: 3; eight times: 4; ten times: 5)	1 2 3 4 5	
15. The Company provides the Board of Directors with complete, timely and quality information that may help the Board of Directors perform its duty successfully.	1 2 3 4 5	
16. The Board of Directors’ meeting minutes record the contents of discussion adequately, as well as personal or collective opinions or concerns.	1 2 3 4 5	
17. The agenda arranged by the Board of Directors affords sufficient time for discussion about each motion, so as to help the directors discuss the motion thoroughly.	1 2 3 4 5	
18. The motions submitted by the Company to the Board of Directors are considered adequate.	1 2 3 4 5	
19. The motions to be discussed at the Board meeting pursuant to laws are resolved under presence of all independent directors (including by proxy).	1 2 3 4 5	
20. The Board of Directors provides fair communication channels to help the adequate communication with independent directors.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
21. Each resolution made by the Board meetings is adequately followed up after being executed.	1 2 3 4 5	
22. For the motion requiring any director's recusal for avoidance of conflict of interest, the director would recuse himself, or the chairperson has requested the director to recuse, and meeting minutes are recorded accordingly.	1 2 3 4 5	
23. The Board of Directors, its members and functional committees all execute the performance evaluation periodically and efficiently.	1 2 3 4 5	
<b>C. The composition and structure of the Board of Directors</b>		
24. The Board of Directors has appointed sufficient independent director seats, and the quota of independent directors satisfies the relevant requirements.	1 2 3 4 5	
25. The Company's independent directors possess the required professional knowledge, and act independently during their terms of office.	1 2 3 4 5	
26. The Board of Directors establishes adequate and sufficient functional committees.	1 2 3 4 5	
27. The existing functional committees are capable of performing the duties delegated by the Board of Directors.	1 2 3 4 5	
28. The Company adopts and practices the policy of Board members diversity based on the Company's development needs.	1 2 3 4 5	
29. No more than two directors should be the spouse of each other or a relative within 2nd degree of kinship of the other, in order to enable the Board members to act objectively and independently.	1 2 3 4 5	
30. The Board consists of proper members who hold the expertise required in the process of decision making.	1 2 3 4 5	
<b>D. The election of the directors and their continuing professional education</b>		
31. The Company adopts the stringent and transparent recommendation procedures and qualification planning for directors and independent directors.	1 2 3 4 5	
32. The procedures for recommendation of the Board members are carried out based on the Company's Board members diversity policy.	1 2 3 4 5	
33. The procedures for recommendation of the Board members take the individual directors' performance Evaluation Results into account.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
34. The procedures for recommendation of the Board members take the Board members' skills, knowledge and experience into account thoroughly, subject to the Company's actual needs.	1 2 3 4 5	
35. The Board of Directors provides new directors with adequate instructions to help the new directors acknowledge their job duties and become acquainted with the Company's operation and environment.	1 2 3 4 5	
36. The directors attend diversified continuing education courses beyond the scope of their expertise, and complete adequate continuing education hours each year.	1 2 3 4 5	
37. The Company keeps an official record of directors' training hours and ongoing professional development program to help directors enhance their knowledge and skills.	1 2 3 4 5	
<b>E. Internal controls</b>		
38. The Board of Directors does include the risk evaluation on and control over the management level into the Company's decision-making process.	1 2 3 4 5	
39. The Board of Directors is capable of evaluating and supervising the validity of various internal control systems and risk management effectively.	1 2 3 4 5	
40. The internal control systems approved by the Board of Directors consist of five major elements/principles and cover the controls over all operating activities and trading cycles.	1 2 3 4 5	
41. The Company's chief internal auditor/general auditor attend the Board of Directors' meeting and submit the internal audit report, and the internal audit report (including follow-up report) is delivered or notified to Audit Committee and independent directors as required.	1 2 3 4 5	
42. Appointment, dismissal, evaluation and review, salary and compensation of the internal auditors shall be reported to the Board of Directors or shall be submitted by the chief internal auditor to the Chairman for approval.	1 2 3 4 5	
43. Adequate arrangements are in place to ensure the CPA's objectiveness and independence when the CPAs provide non-auditing services.	1 2 3 4 5	
44. The directors do verify and supervise the Company's accounting system, financial position and financial report, audit report, and the follow-up thereof.	1 2 3 4 5	



Evaluation Indicators	Evaluation Result	Remarks
<b>F. Involvement in sustainable development (ESG)</b>		
45. The board members understand the significant ESG issues and developments in the industry which the Company operates.	1 2 3 4 5	
46. The board of directors has sufficient ESG information about the Company and provides guidance on implementation results.	1 2 3 4 5	
<b>G. Entire evaluation</b>		
47. Overall operation of the Board of Directors	1 2 3 4 5	
<b>Comprehensive comments</b> (Other supplementary notes: Suggestions about improvement on the Board of Directors' operation)		

**Year \_\_\_\_\_ Board Member Performance Evaluation Self-Evaluation Questionnaire of Yuanta Securities Co., Ltd.**

**Evaluated by: \_\_\_\_\_ (Signed in person)**

1. If it is impossible to interpret the Evaluation Results under various indicators sufficiently, please provide details in the Remark section.
2. The Evaluation Results are presented by 5 levels specified as follows: 1 stands for extremely poor (Strongly Disagree); 2 stands for Poor (Disagree); 3 stands for Moderate (Ordinary); 4 stands for Excellent (Agree); 5 stands for Extremely Excellent (Strongly Agree).

Evaluation Indicators	Evaluation Result	Remarks
<b>A. Their grasp of the Company's goals and missions</b>		
1. The directors do understand the Company's core values (e.g. discipline, mission, honor and vision).	1 2 3 4 5	
2. The directors do understand all of the Company's strategic goals as set by the Board of Directors.	1 2 3 4 5	
3. The directors do understand the characteristics and risks of the industry which the Company is engaged in.	1 2 3 4 5	
<b>B. Their recognition of director's duties</b>		
4. The directors can perform their duties loyally and with due diligence and exercise their authority in a high self-disciplined and cautious manner.	1 2 3 4 5	
5. The directors have already understood their statutory obligation.	1 2 3 4 5	
6. New directors have verified their job duties and known about the Company's operation and environment. (Not applicable to anyone other than new directors)	1 2 3 4 5	
7. The directors do keep in confidence the Company's internal information accessed by them when performing the duty as a director.	1 2 3 4 5	
8. In the case of changes in the stakeholder profiles referred to in Article 44 and Article 45 of the "Financial Holding Company Act", all the directors have provided related information for archiving in a timely manner.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
9. The directors recuse themselves (from discussion and voting, and refrain from voting on behalf of another director) with respect to the motion which they have conflict of interest with, that is likely to harm the Company's interest.	1 2 3 4 5	
<b>C. Their extent of participation in the Company's operations</b>		
10. The directors' attendance at the Board of Directors' meetings (exclusive the attendance by proxy) (1 persons for the attendance rate less than 70%, 2 persons for the attendance rate more than 70% but less than 80%, 3 persons for the attendance rate more than 80% but less than 85%, 4 persons for the attendance rate more than 85% but less than 90%, and 5 persons for the attendance rate more than 90%)	1 2 3 4 5	
11. The directors read and understand the materials before any Board of Directors' meeting to help them perform their job duty at the meeting.	1 2 3 4 5	
12. The directors are engaged in the Board of Directors affairs for sufficient time.	1 2 3 4 5	
13. The directors make positive contribution at the Board of Directors' meetings, e.g. providing concrete suggestions about the motion.	1 2 3 4 5	
14. Upon receipt of the meeting minutes, the directors would carefully read the contents therein, and verify that the minutes records the contents of discussion adequately, as well as Contents personal or collective opinions or concerns.	1 2 3 4 5	
15. The directors have adequate knowledge of the Company, and the Company's management team and industries to help them make professional and adequate judgment.	1 2 3 4 5	
16. The directors do evaluate and supervise the Company's existing or potential risks and discuss the implementation and follow-up has the internal control system.	1 2 3 4 5	
17. The number of companies in which the directors serve as director/supervisor concurrently satisfies the relevant requirements.	1 2 3 4 5	
<b>D. Their management of internal relationships and communication</b>		
18. The interaction between the directors and management team is considered fair.	1 2 3 4 5	

Evaluation Indicators		Evaluation Result	Remarks
19.	The communication between the directors and the other Board members is considered fair.	1 2 3 4 5	
20.	The directors have communicated and exchanged with independent auditors adequately.	1 2 3 4 5	
<b>E. Their professionalism and continuing professional education</b>			
21.	The directors hold the expertise required by the Board of Directors' decision making.	1 2 3 4 5	
22.	The directors attend diversified continuing education courses beyond the scope of their expertise, and complete adequate continuing education hours each year.	1 2 3 4 5	
23.	The directors do continue to enhance their professional knowledge and skills.	1 2 3 4 5	
<b>F. Internal controls</b>			
24.	For the motion requiring any director's recusal for avoidance of conflict of interest, the directors do recuse themselves.	1 2 3 4 5	
25.	The directors have evaluated and supervised the validity of various internal control systems and risk management effectively.	1 2 3 4 5	
26.	The directors can verify and supervise the Company's accounting system, financial position and financial report, audit report the follow-up thereof.	1 2 3 4 5	
<b>G. Entire evaluation</b>			
27.	Overall performance of the Board members	1 2 3 4 5	
<b>Comprehensive comments</b> (Other supplementary notes: expectation or suggestions to the directors (self or peer))			

**Year \_\_\_\_\_ Audit Committee Performance Evaluation Self-Evaluation Questionnaire of Yuanta Securities Co., Ltd.**

**Evaluated by: \_\_\_\_\_ (Signed in person)**

1. If it is impossible to interpret the evaluation results under various indicators sufficiently, please provide details in the Remark section.
2. The evaluation results are presented by 5 levels specified as follows: 1 stands for extremely poor (Strongly Disagree); 2 stands for Poor (Disagree); 3 stands for Moderate (Ordinary); 4 stands for Excellent (Agree); 5 stands for Extremely Excellent (Strongly Agree).

Evaluation Indicators	Evaluation Result	Remarks
<b>A. Their extent of participation in the Company's operations</b>		
1. Each member's average attendance at the Audit Committee (exclusive of the attendance by proxy) is considered fair (1 persons for the attendance rate less than 70%, 2 persons for the attendance rate more than 70% but less than 80%, 3 persons for the attendance rate more than 80% but less than 85%, 4 persons for the attendance rate more than 85% but less than 90%, and 5 persons for the attendance rate more than 90%)	1 2 3 4 5	
2. The members would read and understand the meeting materials before any meeting.	1 2 3 4 5	
3. The interaction between the Audit Committee and the management team is considered fair.	1 2 3 4 5	
4. All the members make positive contribution at the meetings of Audit Committee.	1 2 3 4 5	
5. The Audit Committee convenes the meeting periodically and at least once per quarter.	1 2 3 4 5	
6. The Audit Committee members have adequate knowledge of the Company, and the Company's management team and industries.	1 2 3 4 5	
7. The Audit Committee can access the corporate business performance report in a timely manner.	1 2 3 4 5	
8. The Audit Committee can resolve the appointment or discharge of a financial, accounting, or internal auditing officer.	1 2 3 4 5	
9. The Audit Committee can supervise the Company's major operating events.	1 2 3 4 5	
<b>B. Awareness toward Audit Committee's responsibilities and duties</b>		
10. The Audit Committee's authority is defined precisely and adequately.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
11. The Audit Committee can evaluate and supervise the Company's existing or potential risks.	1 2 3 4 5	
12. The Audit Committee can submit suggestions to the Board of Directors for discussion timely, professionally and objectively, as the reference helping the Board of Directors make decision.	1 2 3 4 5	
13. The Audit Committee has communicated and exchanged with independent auditors adequately (In the case of enforcement of new statements of accounting standards or major adjustment on the financial statements, a meeting shall be convened for discussion.)	1 2 3 4 5	
14. The Audit Committee does evaluate the independence and competence of the retained CPAs periodically.	1 2 3 4 5	
<b>C. Upgrading the quality of the Audit Committee's decision making</b>		
15. Unless in the case of emergency, the causes for convention of a meeting of Audit Committee shall be specified in the meeting notice and the meeting shall be served to each member 7 days prior to the meeting.	1 2 3 4 5	
16. The Company provides the Audit Committee with complete, timely and quality information that may help the Committee perform its duty successfully. If necessary, it may invite related department managers, internal auditors, CPAs, legal advisors or other personnel to attend the meeting as non-voting participants.	1 2 3 4 5	
17. The Audit Committee has sufficient time to discuss motions.	1 2 3 4 5	
18. The motions submitted by the Company to the Audit Committee are considered adequate.	1 2 3 4 5	
19. For the motion requiring any member's recusal for avoidance of conflict of interest, the member does recuse himself, and the meeting minutes is produced. (If any Audit Committee member is considered a stakeholder to a motion, he must state the stakes involved and shall recuse himself from all discussions and voting if such stakes are in conflict against the Company's interests. In which case, the member may not exercise voting rights on behalf of another member.)	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
20. The Audit Committee meeting minutes records the contents of discussion adequately, as well as personal or collective opinions or concerns.	1 2 3 4 5	
21. The resolution made by the Audit Committee meeting is adequately followed up after being executed.	1 2 3 4 5	
22. The Audit Committee all execute the performance evaluation periodically and efficiently.	1 2 3 4 5	
<b>D. Formation and election of Audit Committee members</b>		
23. The Audit Committee shall be composed of the entire number of independent directors. It shall not be fewer than three persons in number, one of whom shall be convener, and at least one of whom shall have accounting or financial expertise.	1 2 3 4 5	
24. The Audit Committee members are composed adequately, and hold the expertise required in the process of decision making.	1 2 3 4 5	
25. The members all satisfy the “Regulations relevant Governing Appointment of Independent Directors and Compliance Matters for Public Companies”.	1 2 3 4 5	
26. The Audit Committee members all act independently during their terms of office.	1 2 3 4 5	
27. The motion for election of the Audit Committee members take the members’ skills, knowledge and experience into account thoroughly, subject to the Company’s actual needs, as well as the Audit Committee’s performance evaluation results.	1 2 3 4 5	
<b>E. Internal controls</b>		
28. Whether the Audit Committee accepts the risk control report submitted by the Company’s dedicated risk control unit periodically? (including, the immediate actions the must be taken and reported to the Board of Directors upon discovery of substantial risk events that is potentially detrimental to the Company’s finance or business.)	1 2 3 4 5	
29. The adoption of or amendments to, or evaluation on effectiveness of, the internal control system is approved by the Audit Committee and submitted to the Audit Committee for resolution.	1 2 3 4 5	

Evaluation Indicators		Evaluation Result	Remarks
30. The Audit Committee can evaluate and supervise the validity of various internal control systems and risk management effectively.		1 2 3 4 5	
31. The Company's chief internal auditor attends the meeting of Audit Committee and submits the internal audit report, and the internal audit report (including follow-up report) is delivered or notified to the Audit Committee as required.		1 2 3 4 5	
32. The internal control systems passed by the Audit Committee consist of five major elements/principles and cover the controls over all operating activities and trading cycles.		1 2 3 4 5	
33. The Audit Committee can verify and supervise the Company's accounting system, financial position and financial report, audit report the follow-up thereof.		1 2 3 4 5	
34. The Audit Committee values the compliance with various laws and best practice principles.		1 2 3 4 5	
<b>F. Entire evaluation</b>			
35. Overall operation of the Audit Committee		1 2 3 4 5	
<b>Comprehensive comments</b> (Other supplementary notes: Suggestions about improvement on the Audit Committee's operation)			



**Year \_\_\_\_\_ Remuneration Committee Performance Evaluation Self-Evaluation Questionnaire of Yuanta Securities Co., Ltd.**

**Evaluated by: \_\_\_\_\_ (Signed in person)**

1. If it is impossible to interpret the evaluation results under various indicators sufficiently, please provide details in the Remark section.
2. The evaluation results are presented by 5 levels specified as follows: 1 stands for extremely poor (Strongly Disagree); 2 stands for Poor (Disagree); 3 stands for Moderate (Ordinary); 4 stands for Excellent (Agree); 5 stands for Extremely Excellent (Strongly Agree).

Evaluation Indicators	Evaluation Result	Remarks
<b>A. Their extent of participation in the Company's operations</b>		
1. Each member's average attendance at the meetings of Remuneration Committee (exclusive of the attendance by proxy) is considered fair.  (1 persons for the attendance rate less than 70%, 2 persons for the attendance rate more than 70% but less than 80%, 3 persons for the attendance rate more than 80% but less than 85%, 4 persons for the attendance rate more than 85% but less than 90%, and 5 persons for the attendance rate more than 90%)	1 2 3 4 5	
2. The members would read and understand the meeting materials before any meeting.	1 2 3 4 5	
3. The interaction between the Remuneration Committee and the management team is considered fair.	1 2 3 4 5	
4. All the members make positive contribution at the meetings of Remuneration Committee.	1 2 3 4 5	
5. The Remuneration Committee convenes the meeting periodically and at least twice per year.	1 2 3 4 5	
<b>B. Awareness toward Remuneration Committee's responsibilities and duties</b>		
6. The Remuneration Committee's authority is defined precisely and adequately.	1 2 3 4 5	
7. The Remuneration Committee can evaluate and supervise the Company's existing or potential risks.	1 2 3 4 5	
8. The Remuneration Committee can submit suggestions to the Board of Directors for discussion timely, professionally and objectively, as the reference helping the Board of Directors make decision.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
9. The Remuneration Committee does stipulate and review regularly the compensation policies, systems, standards and structures, and performance of directors, supervisors and managers (the decision about compensation to directors, supervisors and managers should not deviate from the financial performance significantly).	1 2 3 4 5	
10. The Remuneration Committee does review the Company's director's performance evaluation standards periodically and submit the same to the Board of Directors for approval, and determine the remuneration to directors based on the performance evaluation result.	1 2 3 4 5	
11. When resolving and managing performance evaluation and remuneration, the Remuneration Committee does follow the typical pay levels adopted by peer companies, and take into consideration the individual performance, the Company's business performance and reasonableness of the correlation with future risk exposure.	1 2 3 4 5	
12. The Remuneration Committee members can verify the core objectives of the organizational business and have adequate knowledge of the Company's internal reward program to evaluate the reward policy.	1 2 3 4 5	
<b>C. Upgrading the quality of the Remuneration Committee's decision making.</b>		
13. Unless in the case of emergency, the causes for convention of a meeting of Remuneration Committee shall be specified in the meeting notice and the meeting shall be served to each member 7 days prior to the meeting.	1 2 3 4 5	
14. The Company provides the Remuneration Committee with complete, timely and quality information that may help the Committee perform its duty successfully. If necessary, it may invite related department managers, internal auditors, CPAs, legal advisors or other personnel to attend the meeting as non-voting participants.	1 2 3 4 5	
15. The Remuneration Committee has sufficient to discussion motions.	1 2 3 4 5	

Evaluation Indicators	Evaluation Result	Remarks
16. The motions submitted by the Company to the Remuneration Committee are considered adequate.	1 2 3 4 5	
17. For the motion requiring any member's recusal for avoidance of conflict of interest, the member does recuse himself, and the meeting minutes is produced. (If any Remuneration Committee member is considered a stakeholder to a motion, he must state the stakes involved and shall recuse himself from all discussions and voting if such stakes are in conflict against the Company's interests. In which case, the member may not exercise voting rights on behalf of another member.)	1 2 3 4 5	
18. The Remuneration Committee meeting minutes records the contents of discussion adequately, as well as personal or collective opinions or concerns.	1 2 3 4 5	
19. The resolution made by the Remuneration Committee' meeting is adequately followed up after being executed.	1 2 3 4 5	
20. The Remuneration Committee all execute the performance evaluation periodically and efficiently.	1 2 3 4 5	
<b>D. Formation and election of Remuneration Committee members.</b>		
21. The Remuneration Committee shall consist of no less than three members, including one as the convener and at least one who should be the independent director.	1 2 3 4 5	
22. The Remuneration Committee members are composed adequately, and hold the expertise required in the process of decision making.	1 2 3 4 5	
23. The Remuneration Committee members all act independently during their terms of office.	1 2 3 4 5	
24. The motion for election of the Remuneration Committee members take the members' skills, knowledge and experience into account thoroughly, subject to the Company's actual needs, as well as the Remuneration Committee's performance evaluation results.	1 2 3 4 5	
<b>E. Internal controls</b>		
25. The Remuneration Committee values the compliance with various laws and best practice principles.	1 2 3 4 5	

Evaluation Indicators		Evaluation Result	Remarks
26. The Remuneration Committee members do keep in confidence the Company's internal information accessed by them when performing the duty as the Committee member.		1   2   3   4   5	
<b>F. Entire evaluation</b>			
27. Overall operation of the Remuneration Committee		1   2   3   4   5	
<b>Comprehensive comments</b> (Other supplementary notes: Suggestions about improvement on the Remuneration Committee's operation)			

[Disclaimer: This document is a translation from the original Chinese version. In the case of any discrepancy, the original document shall supersede this version.]